



COMDTINST 5230.77
22 MAY 2008

COMMANDANT INSTRUCTION 5230.77

Subj: IMPLEMENTATION OF COAST GUARD AND DHS CHIEF INFORMATION OFFICER (CIO) REVIEW AND APPROVAL OF COMMAND, CONTROL, COMMUNICATIONS, COMPUTERS AND INFORMATION TECHNOLOGY (C4&IT) ACQUISITIONS EQUAL TO OR GREATER THAN \$2.5 MILLION

Ref: (a) DHS Management Directive MD 0007.1, Information Technology Integration and Management
(b) DHS CIO IT Acquisition Review Guidance
(c) DHS Memorandum, Information Technology Acquisition Request (ITAR) Processing
Dated 26 Mar 2008

- PURPOSE.** This Instruction promulgates Coast Guard policy for the Department of Homeland Security (DHS) requirements for the review and approval of Coast Guard Command, Control, Communications, Computers and Information Technology (C4&IT) acquisitions equal to or greater than \$2.5 million. Reference (a) requires the Component Chief Information Officer (CIO) to effectively manage and administer all C4&IT resources and assets to meet mission, Departmental, and enterprise program goals. This includes the requirement for the Component CIO to approve all C4&IT purchases. The DHS CIO must also approve the acquisition of any C4&IT equipment, software, services, hardware, communications, infrastructure and programs equal to or greater than \$2.5 million via the Component CIO prior to forwarding the procurement request to the contracting office for further processing.
- ACTION.** Area, district, and sector commanders, commanders of maintenance and logistics commands, Commander Deployable Operations Groups, commanding officers of integrated support commands, commanding officers of headquarters units, assistant commandants for directorates, Judge Advocate General and special staff elements at Headquarters shall ensure compliance with the provisions of this Instruction. Internet release is authorized.

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3. DIRECTIVES AFFECTED. None.
4. REQUIREMENTS. MD 0007.1 gives Component CIOs the authority and requirement to determine C4&IT and non-C4&IT investments and to approve all C4&IT investments. To support the DHS CIO review of C4&IT acquisitions, MD 0007.1 requires Component CIOs to:
 - a. Ensure that prior to forwarding the procurement request to the contracting office for any acquisition of C4&IT equipment, software, services, or programs of \$2.5M or more (inclusive of options), the DHS CIO has approved the acquisition; and
 - b. Ensure that these acquisitions are aligned with the Administration and Congressional priorities, and the DHS mission in advance (conducting the review during acquisition planning prior to the commencement of the formal procurement process) to prevent an untimely delay in the purchase or acquisition.
5. ROLE OF COMMANDANT (CG-69). The Coast Guard's C4&IT Office of Enterprise System Development Policy, Commandant (CG-69) serves as the primary agent for reviewing, evaluating, and processing such requests to the DHS CIO. Although approval may be provided sooner, the Project Manager/Requisitioner (PM) should allow approximately four weeks for the Coast Guard CIO and DHS CIO review and approval of C4&IT acquisition requests. Even if basic award actions are approved, approval is still required for options, task orders, or any other DHS C4&IT action equal to or greater than \$2.5 Million. To assist in the DHS CIO review, the DHS CIO developed the C4&IT Acquisition Request Checklist available at the DHS Website in paragraph 10, below. In addition to the checklist, the PM/Requisitioner should provide the Statement of Work or Performance Work Statement and the Independent Government Cost Estimate (IGCE) with the C4&IT investment. The review process is accomplished electronically.
6. DEFINITION OF C4&IT. C4&IT is defined as any equipment or interconnected systems or subsystems of equipment or techniques that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of digital, voice, or video data or information to the appropriate levels of command. This includes command and control networks, common operational picture systems, information assurance services, communication products and standards, computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources.

C4&IT projects include the following:

- a. C4&IT projects and systems across all C4&IT environments (e.g., mainframe, client-server, embedded, firmware, network).
- b. C4&IT projects and systems across all classifications (unclassified, classified, and national security).
- c. C4&IT projects and systems for applications, systems, and infrastructure, including those acquired, contractually developed, and developed in-house.

- d. C4&IT projects from non-C4&IT investments or programs that involve the development of an IT system.
7. APPLICABILITY. The DHS CIO reviews and approves all C4&IT acquisitions of \$2.5M and above (inclusive of options) regardless of whether they originate from a C4&IT investment or a non-C4&IT investment. If C4&IT dollars of \$2.5M or greater are embedded in a non-C4&IT investment, the DHS CIO must approve the acquisition prior to purchase. It is the responsibility of the Coast Guard CIO (CG-6) to validate that non-C4&IT acquisitions do not contain C4&IT investment of \$2.5M or greater. The actions requiring review include, but are not limited to: contracts, task orders, delivery orders, Interagency Agreements (IAA), Reimbursable Agreements, modifications, grants, exercise of options, Military Interdepartmental Procurement Requests (MIPR), commodity purchases and any other contractual activity that includes an obligation for C4&IT assets or services of \$2.5M and above. Any C4&IT acquisition (\$2.5M or greater) made under DHS-wide contract vehicles (e.g., EAGLE and FirstSource) are NOT exempt from this requirement.
8. ALIGNMENT. Acquisition of C4&IT equipment, services, or programs are reviewed by the CIO to ensure they are reconciled with DHS' strategic goals and that alignment with the Enterprise Business Management (C4&IT investments), portfolio management, enterprise architecture, information security, infrastructure transformation, and Section 508 requirements are met.
9. ROLE OF PROJECT MANAGERS (PM)/REQUISITIONERS. Coast Guard PMs/Requisitioners must electronically submit required DHS CIO review documentation for C4&IT acquisitions \$2.5M or greater to the Component CIO. The PM should engage the CG CIO Office (CG-6) early during requirements development to ensure IT alignment. DHS CIO approval should be obtained and included with the Procurement Request (PR) package when submitted to the Contracting Officer for further processing.
10. ELECTRONIC ACCESS TO DHS CIO ACQUISITION REVIEW DOCUMENTS. To ensure the latest documents are available and communication with the CIO is efficient, the DHS CIO established a DHS site to store the latest versions of the DHS CIO acquisition review documentation.
<https://dhsonline.dhs.gov/portal/jhtml/community.jhtml?index=157&community=MGMT&id=2040080003>
11. ANNUAL DEADLINES FOR SUBMITTING \$2.5M OR GREATER C4&IT ACQUISITION REQUESTS FOR DHS APPROVAL. The DHS \$2.5M ITAR requirement established by Reference (c) requires all USCG C4&IT acquisitions \$2.5M or greater to be approved by the DHS (CIO). Reference (c) from the DHS CIO to Component CIOs advised Coast Guard of calendar year 2008 \$2.5M C4&IT Acquisition Request Approval deadlines for submittal. The DHS submittal deadlines are:
 - a. All FY 2008 IT (C4&IT) acquisitions that require an obligation prior to 30 Sep 2008 must be received by the DHS CIO no later than 1 Jul 2008.
 - b. All FY 2009 IT (C4&IT) acquisitions requests for continuing work (ongoing work that must continue on 1 Oct 2008 must be submitted to the DHS CIO no later than 1 Aug. 2008.

c. Requests must be received by the DHS CIO for review prior to when the respective Component procurement office must take action. In order for the Coast Guard to establish the lead time to meet the DHS deadlines prescribed in reference (c), the following Coast Guard annual deadlines are established:

(1) All C4&IT investments \$2.5M or greater requiring obligation prior to 30 Sep must be received by Commandant (CG-69) no later than 16 Jun.

(2) All C4&IT acquisition requirements for ongoing work that must continue on 1 Oct must be received by Commandant (CG-69) no later than 15 Jul.

d. It is strongly suggested that you coordinate these deadlines with your servicing procurement office Purchase Request (PR) end of year cutoff dates to ensure compliance and timely obligation.

e. The Coast Guard Office of C4&IT Enterprise System Development Policy, Commandant (CG-69) serves as the Coast Guard's primary agent for reviewing, evaluating, and processing such requests to the DHS CIO.

f. Points of Contact: Commandant (CG-69) points of contact are: Harold Sinnett, 202-475-3640 and Brad Eyre, 202-475-3452, USCGITBUY@uscg.mil.

12. C4&IT ACQUISITION APPROVAL PROCEDURES FOR ACTIONS EQUAL TO OR GREATER THAN \$2.5 MILLION. In support of reference (a) that requires the Component CIO, further implementing procedures for actions EQUAL TO OR GREATER THAN \$2.5M shall be promulgated separately and shall identify requirements for obtaining CG/DHS CIO review and approval. The focus of the C4&IT Acquisition Approval Procedures Instruction will be the C4&IT business and technical planning disciplines of Enterprise Business Management (C4&IT Investments), Portfolio Management, Enterprise Architecture, Information Security, Infrastructure Transformation, and Section 508.

13. C4&IT ACQUISITION APPROVAL PROCEDURES FOR ACTIONS LESS THAN \$2.5 MILLION. In support of reference (a) that requires Component CIOs to review and approve IT acquisitions LESS THAN \$2.5 Million Coast Guard CIO procedures shall be promulgated separately and shall identify requirements for obtaining Coast Guard CIO review and approval. The focus of the C4&IT Acquisition Approval Procedures document will be the IT business and technical planning disciplines of Enterprise Business Management (C4&IT Investments), Portfolio Management, Enterprise Architecture, Information Security, Infrastructure Transformation, and Section 508.

14. ENVIRONMENTAL ASPECTS AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this Instruction and have been determined not to be applicable.
15. FORMS/REPORTS. None.

D. T. GLENN /s/
Assistant Commandant for Command, Control,
Communications, Computers and Information Technology